

Reference Number: 100-02-DD

Title of Document: Implementation Procedures for the Electronic Communications System Containing Agency Directives and Policies

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Applicability: Central Office, District Offices, Regional Centers, DSN Boards and Contracted Providers

The attached packet contains the procedures to be used by Central Office staff in conjunction with the Electronic Communications System (ECS) for document management. This system was established by Departmental Directive 100-01-DD. These procedures are applicable to all official DDSN Commission Policies and Agency Directives. The Quality Assurance and Quality Improvement Division is responsible for implementation and administration of the system.

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The following procedures should be used:

**SOUTH CAROLINA DEPARTMENT
OF DISABILITIES AND SPECIAL NEEDS**

**Procedure for the Electronic Communications System (ECS)
Containing Agency Directives and Policies**

Issued: April 29, 1987
Revised: December 1, 2008

SCDDSN ELECTRONIC COMMUNICATIONS SYSTEM

I. INTRODUCTION

These procedures describe the SCDDSN system for issuing Commission Policies and Departmental Directives. One purpose of this process is to classify, file and retrieve important Agency policies and directives.

Another purpose of this process is to enhance communication within and outside of the DDSN system relative to procedures, directives, policies, and guidelines. The process minimizes the issuance of conflicting information to agency staff, service providers, customers and other interested parties.

The source documents are maintained in the ServicesShar Directory on the DDSN Central Office File Server. Access to the source documents are restricted to key personnel in the Quality Assurance and Quality Improvement Division charged with the responsibility for the maintenance of these documents. Commission policies and departmental directives are available in “read only” format on the Policy and Procedures Website of the DDSN Extranet, which is available to all DDSN employees and DDSN business partners (e.g., DSN Boards and contracted providers), and can be reviewed, downloaded, or copied from that location. Commission policies and departmental directives are also available on the DDSN Website.

All applicable entities will receive notification regarding new or revised documents, and will have the ability to access them either from the DDSN Extranet, DDSN website or via e-mail with attachment. In the rare event that an entity affected does not have access to one of the electronic vehicles mentioned above, a hard copy of the document would be made available upon written request.

A hard copy document catalog will be published, upon request, which lists the documents according to subject matter, reference number, title, year of issuance, etc. Additionally an electronic index categorized by subject, key word, reference number, title and date can be accessed on the DDSN Website by clicking on Department Directives.

Each document is reviewed at a minimum every three years and updated per the attached procedures. New documents can be issued at any time during the year, and revisions can be made whenever necessary. However, to avoid duplication of efforts it is recommended that revisions be made during the review process whenever feasible. Revised documents should include a brief cover memorandum summarizing any major changes.

II. DEFINITIONS

Review Process Every Three Years - A process that occurs every 3 years whereby all existing ECS documents are reviewed for relevance, accuracy, and applicability to DDSN's Organized Healthcare Delivery System.

Commission Policy (CP) - A policy or philosophical statement issued by the Commission of the South Carolina Department of Disabilities and Special Needs. These policies are presented to the Director, whose duty it is to implement those policies throughout the agency.

Departmental Directive (DD) - A mandate approved by the State Director or SCDDSN Commission Chairman requiring compliance of applicable Central Office, District Office, Regional Center, DSN Board and Contracted Provider staff.

Document Manager - The person assigned by the Originator to take primary responsibility for the on-going management and updating of a document.

ECS Coordinator - The designated person who is responsible for the assignment of reference numbers; the operation of the every three year review process; coordination of the posting of new/ revised documents onto the Extranet and DDSN website; and the updating of the hard copy file, under the direction of the Quality Assurance and Quality Improvement Division Director.

Master File - The ECS Coordinator maintains a hard copy "Reading File" where all original signature documents are located. Duplicate hard copies may be obtained from the master file.

Obsolete – A document determined by the Originator or Document Manager to be useless or no longer in effect. Signatures by the Originator and Authorized "Approved" employee must be completed prior to making a directive obsolete.

Originator - The person under whose direction the document was initiated and whose scope of supervision is related to the activities addressed in the document. This is a senior level manager (a Deputy State Director, Associate State Director, Director of Human Resource Management, or Director of Internal Audit). The Originator's signature is always found on the document.

Reference Number - A unique number assigned to a particular document reflecting the general subject matter category, the chronological order of issue within that subject category, and the type of document.

III. CODE NUMBER SERIES FOR SUBJECT CATEGORIES

100 - General Administrative/ Community Education/Legal

200 - Finance and Accounting/Community Contracts/Internal Audit

300 – Engineering/Services and Supplies/IRM

400 – Human Resource Management

500 - SCDDSN Services (entry through discharge) CDSS/STS Advocacy/
Training

600 – Regional Facility Services/Programs

700 – Home and Community Services/Programs

The above categories are arranged by subject matter, not by current organizational structure. Organizational changes within the agency should not affect the document management system, per the above categories. Additional categories may be added as necessary.

A. STEPS FOR ASSIGNING REFERENCE NUMBERS (New Departmental Directives)

These steps will be followed by the ECS Coordinator in assigning a reference number to a document:

- 1) When a request has been received for a new document number, the ECS Coordinator, in conjunction with the originator or Document Manager and as authorized by the Associate State Director of Policy will determine which of the above categories the new document falls within (refer to the preceding section entitled “Code Number Series for Subject Categories”). When the subject of the document applies to several categories, the most appropriate category will be used. When the subject applies to many categories or no specific category, the “100” series will be used.
- 2) The ECS Coordinator will, at the same time, obtain from the Originator or Document Manager the type or classification of the new document (refer to the Definitions Section above).

- 3) When the directive has been reviewed by all appropriate internal DDSN staff, has been circulated for comment on the extranet and DDSN website for a minimum of 30 calendar days, and is ready for signatures, the ECS Coordinator will then assign the new document the next available sequential number and record that number as issued. There should never be a gap in the sequence of numbers. (NOTE: In order to avoid gaps, any index of documents published will still carry the numbers assigned to now obsolete documents with the notation "Obsolete" after the number.)
- 4) Documents that have become obsolete will retain their original reference number, but will have a "Last Review Date" that reflects the date it was reviewed, and the word "Obsolete" inserted beside that date.
- 5) Documents that have been declared "Obsolete" will be removed from the Agency's restricted access ServicesShar directory and from the Policy and Procedure Website on the Extranet by the ECS Coordinator and from the DSN website by the DDSN Webmaster and placed in the "historical" section of the database.
- 6) Documents may be cross-referenced with other documents of similar or related content. Such cross-references shall be determined by the Document Manager and placed at the very bottom of the last page of a given document.

B. EXPLANATION OF REFERENCE NUMBERS

Example: **100-01-DD**

The first group of numbers in the example above (100) indicates the general category of subject matter addressed in the document. (The "100" in the example at the top of the page indicates that the document concerns General Administration/Community Education/Legal issues).

The second group of numbers in the example above (01) indicates the sequential order in which that document was assigned a number within that subject area. (In the above example, the "01" indicates that this is the first such document within the category of General Administration/Community Education/Legal issues).

The final alpha characters in the example above (DD) indicate the type of document being issued (i.e., Commission Policy (CP), Departmental Directive (DD). In the above example, the "DD" indicates that the document is a Departmental Directive.)

IV. STEPS FOR HAVING A NEW DOCUMENT APPROVED

- A.** The Originator or Document Manager will solicit feedback on the draft document from appropriate internal reviewers first. Then, the Originator or Document Manager will forward the document with any major changes highlighted or summarized to the DDSN reviewers, DDSN Distribution List, Contracted Providers and DSN Boards, and from the general public via the website allowing sufficient time for feedback to be submitted and incorporated. A minimum of 30 calendar days will be the default. Note: It is the Department's intent to solicit feedback/input from all entities affected by the document.
- B.** The Originator or Document Manager will make sure the final document is then typed in the proper format and will obtain the reference number from the ECS Coordinator to incorporate into the document. The Originator or Document Manager will write a brief memo explaining the purpose of the new document. (See section titled "The Correct Format").
- C.** The Originator will sign the document and secure the required signature of the Agency Director unless the Agency Director was the originator.
- D.** The Originator or Document Manager will deliver the signed original to the ECS Coordinator with a listing of parties (master list available from ECS Coordinator) to be notified of the new document. If there are entities designated who do not have access to the Internet or e-mail, the Originator or Document Manager will arrange to have a hard copy mailed to those entities upon written request.
- E.** The ECS Coordinator will add the new document to the Agency's restricted access ServicesShar directory and to the Policy and Procedure Website on the Agency's Extranet for DDSN employees and business partners, and on the DDSN Website for all interested parties. He/she will electronically notify all parties on the list provided of the new document and where the document can be found.
- F.** The ECS Coordinator will then place the signed original hard copy of the document obtained from the Originator or Document Manager in the Master File.

V. STEPS FOR THE ANNUAL REVIEW OF DOCUMENTS

- A.** The Director of Quality Assurance and Quality Improvement will establish review dates every three years for all existing documents.

- B.** Approximately one month prior to the review date, the ECS Coordinator will e-mail a copy of the document to the Document Manager to notify them of the upcoming review

The Document Manager will review the document, distribute for input as needed and notify the ECS Coordinator which of the following applies: a) document will retain the same content; b) document requires revision; or, c) document is to be declared obsolete.

Note: It is the Department's intent to solicit feedback/input from all entities affected by the document.

- 1. If the document is to retain the same content,** the Document Manager will update and forward one copy of the first page of the directive to the ECS Coordinator with changes to the "Last Review Date" and add "No Changes". The Document Manager will write a brief memo stating no changes were made. The Originator must concur with this decision and sign off on the document manager's memo. The ECS Coordinator will then repost the document on the Agency's restricted access ServicesShar directory, the Policy and Procedure Website on the Extranet and request the DDSN Webmaster to post on the DDSN website. No notice will be distributed but the new first page will replace the old one on the original signed document in the Master File.
- 2. If the document requires revision,** the Document Manager will solicit feedback/input from appropriate reviewers allowing sufficient time for feedback to be submitted and incorporated, normally 30 calendar days. The Document Manager will write a brief memo outlining the major changes. The Originator will sign the document and secure the required signature of the Agency Director unless the Agency Director was the originator. The Document Manager will then provide the ECS Coordinator with the newly signed revised hard copy, which will be placed in the Master File, replacing the previous copy. The Document Manager will also provide the ECS Coordinator with an electronic copy of the revised document. The ECS coordinator will archive the former document in the historical section of the database (using the appropriate alpha character e.g., 100-09 DD (a), 100-09 (b), as needed), post the revised document and distribute a notification to all affected entities (distribution to be determined by the Document Manager) with the cover memo from the Document Manager explaining the revisions.
- 3. If the document is to be declared obsolete,** the Document Manager will update and forward one copy of the first page of the

directive to the ECS Coordinator with changes to the “Last 100-02-DD Review Date” and add “Obsolete”. The Document Manager will write a brief memo stating the directive is obsolete. The Originator must concur with this decision and sign off on the Document Manager’s memo. The Document Manager will inform the ECS coordinator who will then remove the document from the Agency’s restricted access ServicesShar directory and the Policy and Procedure Website on the Extranet and request to the DDSN Webmaster that the Directive be removed from the DDSN Website and distribute notification that the document is considered obsolete and no longer in effect (distribution to be determined by the Document Manager).

The listing of the document in the Catalog, however, will continue with a notation of “Obsolete” added.

VI. THE CORRECT FORMAT

All documents issued by SCDDSN will use the below formatting.

Letterhead at top (letterhead margin 3.2)

Reference Number: (Font: Times New Roman)

Title of Document: (12 pt.)

Date of Issue: (margin for bottom and sides—1 inch)

Effective Date:

Last Review Date:

Date of Last Revision:

Applicability:

- Use tabs or wrap text for alignment.
- Draw lines with tab key.
- Style – use Body Text.
- Block paragraph style.
- Bold headings with Roman Numerals.
- Bold “Revised” or “Obsolete”, if applicable, in the heading of the directive.

The body of the document will follow. There may be one or two signatures at the end depending on the Originator. Commission Policies will be signed by the Chairman of the S.C. Disabilities and Special Needs Commission and any other member warranted.

Departmental Directives that originate from the State Director will be signed by the Director. (This document will have only one signature.)

Departmental Directives that originate from a Deputy Director, an Associate State Director, the Director of Human Resources or the Director of Internal Audit will have their signature on the "Originator" line. All of these shall also have the State Director's signature on the "Approved" line.

If a document has more than one page, the subsequent pages should contain: the Reference Number, the Date of Issue (or Date of Last Revision for revised documents) and the page number at the top left of all pages.

(Originator)(left side of page)

(Approved)(right side of page)

Cross references: (optional)

A. EXPLANATION OF THE FORMAT

Reference Number: – The number that designates the subject matter, the chronological sequence of the document, and the type of document. (i.e., 100-01-DD)

Title of Document: – The name given to the document that describes the contents. (i.e. Smoking in the Work place)

Date of Issue: – The date on which the document was made available or issued. (i.e., June 1, 2001)

Effective Date: – The date in which the original document's instructions were to be implemented. Frequently a document will be issued in advance of the implementation date. At other times, the Date of Issue will be the same at the Effective Date, which never changes even though the contents may be revised.

Last Review Date: – The date on which the document was reviewed for revision by the appropriate source. Newly issued documents will use the "Date of Issue" as the "Last Review Date." Annually thereafter, the last review date will be the date the document was reviewed for relevancy. (If a document is revised, make sure the Last Review Date and the Date of Last Revision are the same.) When a document becomes useless, enter the word "Obsolete" after the Last Review Date. (Remember that obsolete documents must be approved in advance. See pages 4 and 5).

Date of Last Revision: – The date on which the "contents" of the directive were changed. If no changes were made in the content during the annual review, "Date

of Last Revision” will remain unchanged. Type “No Revision” beside “Last Review Date”.

Applicability: – The name of the agencies, services and/or programs to which the policy applies.

Originator: – The person under whose direction the document was initiated and whose scope of supervision is related to the activities addressed in the document. This is a senior level manager (the Deputy). The Originator’s signature is always found on the document. (Commission policies will only have an approved signature, which also serves as the Originator's signature.)

Approved: – The Agency Director's signature must be present in this space if he/she originated the document. His/her signature must appear as the approval source for documents originating from the Deputy Director, Associate State Directors, or the Director of Internal Audit. Commission policies must be signed by the SCDDSN Commission Chairman on the "Approved" line and the Vice-Chairman or his/her designee.

Cross Reference Number: – The reference number of existing directives which are relevant in content may be listed at the very end of a new or revised directive allowing the reader to identify and access other policies and procedures with related subject matter. Completion of this portion is optional.

Obsolete: – A document determined by the Originator or Document Manager to be useless or no longer in effect.

ALL OF THESE ITEMS MUST BE COMPLETED, IF APPLICABLE, PRIOR TO THE OFFICIAL POSTING OF THE DOCUMENT ON THE SERVICESSHAR DIRECTORY, THE DDSN EXTRANET, AND ON THE DDSN WEBSITE, UNDER DEPARTMENT DIRECTIVES.